

NNG10316070R

**GEOPHYSICS, GEODYNAMICS and
SPACE GEODESY**

**Government Surveillance Plan
NNG10316070R**

FOREWORD

Under contracts such as this one, the Contractor assumes more responsibility and greater risk in exchange for more flexibility and less direct Government involvement in contract activities. However, the Government still has a responsibility to conduct surveillance. Surveillance spans a spectrum of Government involvement. Surveillance may be as simple as inspecting a delivered support or service at acceptance or as complex as continually monitoring Contractor performance. To meet this responsibility, the Government needs to understand the risks involved in the Contractor's activity and how the Contractor is managing those risks.

This Surveillance Plan has been prepared to describe the Government's surveillance of this contract. It is a "living" document that is tailored to the particular Contractor selected. The Government welcomes suggestions for improving this Plan. Of particular interest are ideas on what information the Government should monitor (i.e., metrics) and how the Government can most cost-effectively obtain the relevant performance data it needs.

1.0. INTRODUCTION

1.1 Purpose

The purpose of this Surveillance Plan is to define the overall approach and identify specific techniques that NASA Goddard Space Flight Center (NASA-GSFC) intends to use to monitor Contractor performance under the resultant contract NNG10316070R. This plan defines the process the Government expects to follow to obtain data, evaluate the Contractor, and determine if contract performance is acceptable. The goal is to balance the level of Government surveillance with the perceived impacts and risks associated with performance hereunder. The Government reserves the right to modify this Plan at any time during the contract.

1.2 Scope

This plan identifies program requirements, strategy, resources, review and control processes, and surveillance activities for continuous measurement of Contractor performance under the contract. It is intended to be a “living” document from which resources and activities will evolve from one phase to another during the life of the contract. The plan will be updated as required. The surveillance program addresses all elements of the contract, including the following:

1.3 Program Definition and Contract Description

The purpose of this contract is to provide scientific support services to the Solar System Exploration Division, Code 690 and the Earth Sciences Division, Code 610 for Geophysics, Geodynamics, and Space Geodesy (GGSG) Support. The goal of the contract is to increase understanding of the Earth and other bodies in the solar system.

Each of the requirements described below has scientific advancement as its objective. The Contractor support work required by most tasks involves the development or modification of major software systems and subsystems, collection and analysis of data, and aiding in instrument development.

The Contractor shall support the projects within GGSG that encompass all aspects of instrument development; software development and maintenance; data collection, archiving, and dissemination; scientific data analysis; modeling and interpretation of data; presentation of scientific results; public outreach and education; and associated technical and administrative support.

1.4 Guiding Directives

The guiding documents for this surveillance effort include the contract's Statement of Work (SOW) and the deliverable requirements specified therein.

2.0 Surveillance Strategy Definitions

2.1 Insight

Insight is an assurance process that uses performance requirements and if definable, performance metrics to ensure process capability, product quality and end-item effectiveness. Insight relies on gathering a minimum set of product or process data that provides adequate visibility into the integrity of the product or process. The data may be acquired from Contractor records, usually in a non-intrusive parallel method.

Insight as applied to this contract and the work to be performed therein will result in lower levels of Government surveillance and allow the Contractor to assume increased responsibility and accountability for the integrity of processes and/or products. Insight will rely heavily on evaluating planned contract deliverables and evaluating existing Contractor procedures and working documents, if available.

2.2 Oversight

Oversight as applied to this contract and the work to be performed therein will result in higher levels of Government surveillance. The Government will gather information pertaining to the Contractor's process through off-site communications with the Contractor, face-to-face communication with Contractor personnel when they are at NASA-GSFC, and possible on-site involvement and/or inspection of the process and possible monitoring of the process itself. The Government's involvement in the Contractor's performance through oversight will be determined as necessary by the Contracting Officer's Technical Representative, and other associated personnel.

3.0 RESOURCES

The surveillance team will be composed of key government personnel representing the Science and Exploration Directorate and other associated personnel . The team's primary purpose will be to provide direction for contract surveillance activities and to serve as the Government's focal point in reviewing and evaluating overall Contractor performance under the contract. The team will obtain information from various sources, including deliverable Contractor documents, communications with the Contractor, and reports by other personnel or representatives who interact with the Contractor.

All available information will be evaluated, and any action by NASA-GSFC will be determined based upon the scope and magnitude of any particular issue or problem. The surveillance team chairperson (COTR) will formally notify the Contracting Officer of situations where it is perceived that the Contractor has failed to take prudent corrective or preventive action, of situations perceived to increase risk, or of findings of continued contractual non-compliance.

4.0 SURVEILLANCE STRATEGY AND APPROACH

4.1 General

The level of risk and the impact of failure are major determinants in helping define the type of surveillance to be conducted. Clearly, if the impact of failure is minor and the level of risk is low, only a small amount of insight-driven surveillance would normally be needed. Conversely, if the impact of

failure could be significant and the level of risk is high, more extensive surveillance (including possible oversight surveillance) is warranted.

NASA-GSFC will strive to use an insight-driven surveillance approach through the effective period of the resultant contract. The overall surveillance goal will be to obtain objective evidence and data that enable the Government to determine whether the Contractor's program and processes are functioning as intended in accordance with the terms of the contract. The focus will be on prevention rather than detection, i.e., not relying solely upon inspections and tests to identify problems.

Surveillance team members will have open access to all areas in which this contract is being performed and will interface directly with their Contractor counterparts as necessary. They will document problems, concerns and issues, and take note of Contractor accomplishments. They will collect performance metric data, where applicable, and will participate in Contractor review meetings as necessary. Information will flow from individual team members to the COTR who will present issues and achievements at surveillance team meetings as needed. Information gained from these formal and informal exchanges of ideas and collection of data will be compiled and evaluated as necessary to aid in measuring and documenting contract performance.

The COTR will annually complete a NASA Form 1680, entitled, "Contractor Performance Assessment" which will also be reviewed by the Contractor, and become a part of the active GSFC data base of Contractor Performance Assessments.

4.2 Forms of Surveillance

Support of the GGSG contract surveillance will take the following forms:

4.2.1 Communications

- Informal discussions
- Electronic mail
- Surveillance team meetings
- Progress reviews
- Technical information meetings
- Other communication methods, as needed

4.2.2 Evaluation and Reporting

- Review of deliverables from contract schedule requirements
- Documentation of problems, issues and concerns
- Data collection reporting

5.0 SELECTED SURVEILLANCE ACTIVITIES

The following selected activities will be performed when necessary by various surveillance team members during applicable stages of contract performance:

Area of Risk Identified	Surveillance Team Activity	Impact to Government
Lack of expertise in key areas	Government will monitor and assess the Contractor's ability to provide staffing at appropriate skill levels to provide effective and efficient performance based services. Feedback will be provided to the Contractor as needed.	Government will conduct contract surveillance activities in accordance with this Plan.
Less than optimum quality of data products released. Data product users' requirements not met.	Continue the current practice of quality monitoring and look for improvements.	Work with the Contractor to develop new approaches to improving quality and monitoring.
Delivery schedule depends on Contractor Performance. Product and research development responsibilities not met.	Performance metrics well defined for each task where feasible.	Conduct and provide feedback in accordance with this Plan.
Computer Security: potential corruption and loss of data; disruption of schedule.	Abide by the applicable NASA and GSFC IT requirements.	Ensure the Contractor has adequate IT security plan that complies with NASA and GSFC IT Standards. Assess the IT security incidents and implementation of the plan.
Control and Maintenance of Government Property: loss of or damage to equipment impacts schedule.	Oversee property management and record-keeping of Government Furnished Property; perform once-per-year property check with Contractor	Appropriate property clauses included in the contract. Contractor to supply information on Government Furnished Property as requested by property manager.
Inability to implement contract requirements due to funding	Review and modify as necessary task statements of work :	Limitation of Funds clause; monitor financial.
Safety, potential for lost or restricted workdays and injury to personnel;	Assess Contractor personnel and equipment safety when at NASA facilities to ensure	Contractor required to abide by NASA and GSFC safety measures to ensure that

Area of Risk Identified	Surveillance Team Activity	Impact to Government
potential of loss or damage to equipment.	accordance with NASA and GSFC safety guidelines (i.e., Safety and Health NFS 1852.223-70; Major Breach of Safety or Security NFS 1852.223-75 (as modified by recommendation of Safety Office).	NASA's safety priority is adequately addressed. Monitor performance-

Surveillance team members will have broad background and experience working with projects and/or programs supported by the Contractor under the resultant contract. They will participate in review meetings, such as those described in Section 4.0. They will provide assistance, as necessary, with the development and approval of technical specifications, flow-down of requirements, and with design, development, production and test activities. They will also maintain insight into the Contractor's compliance with relevant deliverables submitted under the contract. When the Government has concerns regarding Contractor performance, surveillance team members may conduct independent audits of the Contractor's activities, processes, products, documentation and data in order to provide assurance that the program is being implemented according to all requirements and specifications. These audits will normally be conducted with advance notification and coordinated with the Contractor. However, the Government reserves the right to conduct unscheduled audits when evidence indicates that Contractor performance is deficient.

5.1 Performance Verification

The term 'Performance Verification' in the context of this plan refers to the activities related to the insight activities. Audits as described above may be considered necessary for performance verification.

5.2 Safety

The responsibility for meeting all safety requirements rests with the Contractor. Surveillance team personnel will review safety-related documentation as appropriate, to help ensure all NASA and GSFC safety requirements have been satisfied when Contractor personnel and equipment are at NASA facilities.

6.0 SUMMARY

This Surveillance Plan describes the approach NASA Goddard Space Flight Center (NASA-GSFC) intends to use to monitor the GGSG contract and assure that the Contractor performs in accordance with terms and conditions of the Contract. NASA-GSFC anticipates using an insight surveillance approach. The goal is to balance the level of Government surveillance with the perceived impacts and risks of mission failure.

NASA-GSFC plans to utilize a surveillance team to evaluate Contractor performance and direct surveillance activities. The team will obtain data and provide information on Contractor activities.

The Government reserves the right to change this Surveillance Plan and the metrics used to evaluate Contractor performance.